



#2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Victor F. Petrenko  
Application No.: 09/976,210  
Filed: October 11, 2001

Attorney Docket No. 393551  
Group No.: 3742  
Examiner: Unknown

For: HIGH-FREQUENCY MELTING OF INTERFACIAL ICE

Assistant Commissioner for Patents  
Washington, D.C. 20231

RECEIVED  
AUG 5 2002  
OFFICE OF PETITIONS

DEFICIENCY PAYMENT TO CORRECT ERROR IN SMALL ENTITY STATUS

Pursuant to 37 CFR 1.28(c)(1) and (2) an itemization and payment of deficiency owed are hereby submitted. The undersigned attorney requests under § 1.28(d) that the deficiency payment be treated as a notification under § 1.27(g)(2) of the loss of entitlement to small entity status.

Fee Description	Date	Fee Paid	Corrected Fee Amount	Deficiency Due
Basic Filing Fee	10/1/01	\$370.00	\$740.00	\$370.00
Extra Claims Fees				
Total Claims		\$ 9.00	\$ 18.00	\$ 9.00
Independent Claims		\$ 0.00	\$ 0.00	\$ 0.00
Total Deficiency Payment Owed:				\$379.00

A deficiency payment in the amount of \$379.00 is enclosed. If any additional amount is due, please charge Deposit Account No. 12-0600.

Respectfully submitted,

By: Curtis A. Vock  
Curtis A. Vock, Reg. No. 38,356  
Lathrop & Gage, L.C.  
4845 Pearl East Circle, #300  
Boulder, CO 80301  
Telephone: (720)931-3000  
Facsimile: (720) 931-3001

Adjustment date: 08/05/2002 SLUANG1  
07/18/2001 EAREGAY1 00000057 09976210  
01 FC:201 -370.00 OP  
02 FC:203 -9.00 OP

08/05/2002 SLUANG1 00000004 09976210

01 FC:101 740.00 OP  
02 FC:103 18.00 OP

CERTIFICATE UNDER 37 C.F.R. 1.8(a) and 1.10

I hereby certify that, on the date shown below, this correspondence is being deposited with the United States Postal Service in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231 with sufficient postage:

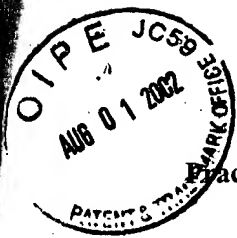
☒ 37 CFR 1.8(a) a  
as First Class Mail

MAILING

☐ 37 CFR 1.10  
as Express Mail Post Office to Addressee  
EXPRESS MAIL NO.

July 22, 2002  
Date

Carol J. Dunkel  
Carol J. Dunkel



Gp/3742 \$

Practitioner's Docket No. 393551

PATENT

IN THE UNITED STATES PATENT OFFICE

In re application of:	Victor F. Petrenko	Attorney Docket No.	393551
Application No.:	09/976,210	Group No.:	3742
Filed:	October 11, 2001	Examiner:	Unknown

For: HIGH-FREQUENCY MELTING OF INTERFACIAL ICE

CERTIFICATE OF MAILING

Commissioner for Patents  
Washington, D.C. 20231

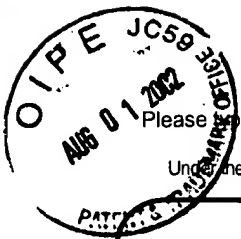
Date of Deposit: July 22, 2002

I hereby state that the following *attached* papers:

1. Transmittal Form [1 page]
2. Fee Transmittal for FY 2002 [original + 1 copy]
3. Deficiency Payment to Correct Error in Small Entity Status [1 page]
4. Check in the amount of \$379.00 for total deficiency owed
5. Certificate of Mailing, [1 page]
6. Return Postcard [1].

are being deposited with the United States Postal Service as First Class Mail service under 37 CFR 1.8 in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231.

  
Carol J. Dunkel



Please use a plus sign (+) inside this box → ☒

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

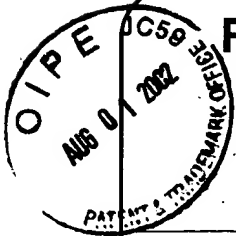
<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	<b>Application Number</b>	09/976.210	
	<b>Filing Date</b>	October 11, 2001	
	<b>First Named Inventor</b>	Victor F. Petrenko	
	<b>Group Art Unit</b>	3742	
	<b>Examiner Name</b>	Unknown	
<b>Total Number of Pages in This Submission</b>	5	<b>Attorney Docket Number</b>	393551

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form  <input checked="" type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition  <input type="checkbox"/> Petition to Convert to a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s) _____  <div>Remarks</div>	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  <b>1. Deficiency Payment to Correct Error in Small Entity Status. Rule 1.28</b> <b>2. Certificate of Mailing</b> <b>3. Return Postcard</b>

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Curtis A. Vock Lathrop & Gage, L.C.
Signature	
Date	July 22, 2002

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: July 22, 2002			
Typed or printed name	Carol J. Dunkel		
Signature		Date	July 22, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** (\$) 379

## Complete If Known

Application Number 09/976,210  
Filing Date October 11, 2001  
First Named Inventor Victor F. Petrenko  
Examiner Name Unknown  
Group / Art Unit 3742  
Attorney Docket No. 393551

## METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:
- Deposit Account Number 12-0600
- Deposit Account Name Lathrop & Gage L.C.
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:
- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

**SUBTOTAL (1)** (\$) 0

### 2. EXTRA CLAIM FEES

Total Claims	20 **	=	0	X	Fee from below	=	0	Fee Paid
Independent Claims	3 **	=	0	X		=	0	
Multiple Dependent				X		=	0	

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$) 0

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

Fee Code	Large Entity Fee (\$)	Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17 (q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) Payment of total deficiency owed

379

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)**

(\$) 379

## SUBMITTED BY

## Complete (if applicable)

Name (Print/Type) Curtis A. Vock Registration No. Attorney/Agent 38,356 Telephone (720) 931-3000  
Signature *Curtis A. Vock* Date July 22, 2002

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

# Section List

Search by

Accounting Date:

Operator ID:

(MMDDYY)

Accounting Date

Starts:

Ends:



Name/Number:

09976210

Attny Docket No:

Deposit Account No.:









Accounting Date	Operator ID	Seq. No.	Txn Src	Fee Code	St	Amount	Name/Number	Dep-Acct
10/16/2001	EAREGAY1	112	SALE	203	A	9.00	09976210	
10/16/2001	EAREGAY1	111	SALE	201	A	370.00	09976210	

OK

Adjustment Detail

Authorization Detail



1.286